

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

(See Instructions on reverse)

LEAVE BLANK (NARA use only)

JOB NUMBER

71-476-85-2

DATE RECEIVED

10-25-2004

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE

ARCHIVIST OF THE UNITED STATES

2-2-05

*[Signature]*

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

FROM (Agency or establishment)

DEPARTMENT OF COMMERCE

2. MAJOR SUBDIVISION

BUREAU OF INDUSTRY AND SECURITY

3. MINOR SUBDIVISION

OFFICE OF EXPORT ENFORCEMENT

4. NAME OF PERSON WITH WHOM TO CONFER

5. TELEPHONE

ELAINE FARROW

(202) 482 - 2165

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 3 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;  is attached; or  has been requested.

DATE

SIGNATURE OF AGENCY REPRESENTATIVE

TITLE

10/22/04

*[Signature]*

RECORDS OFFICER

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

The Office of Export Enforcement (OEE) enforces the Export Administration Act and Regulations relating to the control of U.S. goods and technology for purposes of national security, foreign policy and short supply; enforces the Fastener Quality Act and the Chemical Weapons Convention Implementation Act; and serves as the primary contact in matters relating to export enforcement, interpretation, investigation, policy formulation, and administrative and adjudicative proceedings in areas for which the office is responsible. Functions include:

Directing a program of guidance to the U.S. business community with respect to the interpretation of and compliance with the Export Administration Regulations.

Working with other federal agencies in developing, evaluating, and adjusting the export enforcement responsibilities of those agencies.

Investigating actual and suspected violations and preparing cases on violations for referral for administrative proceedings by the Commerce Department and/or criminal prosecution by the Department of Justice.

Conducting on-site physical inspections of cargo for evidence of violations of the Export Administration Regulations.

N1-476-90-6

*cc Agency NR, NWMD, NAWMD*

OFFICE OF EXPORT ENFORCEMENT

1. SUBJECT FILES - These are records of correspondence that describe the enforcement programs, plans and activities initiated by the Director and his staff to carry out the provisions of the Export Administration Act and Regulations.

Disposition: PERMANENT - Cut off files at the end of the calendar year. Retire to Washington National Records Center (WNRC) 5 years after cut off. Transfer to NARA 20 years after cut off.

2. CHRONOLOGICAL, READING, TICKLER OR SUSPENSE FILES - These are extra copies of correspondence maintained for convenience of reference, or to indicate a due date for action. In some cases, these copies are removed and used for cross-reference and other purposes in subject files.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 3 years after cut off.

3. ASSISTANT DIRECTOR'S SUBJECT CORRESPONDENCE FILES - Contains correspondence, memoranda, reports, and related papers generated by the Assistant Director and his staff. These concern the management of investigations and similar activities carried out under the authority of the Export Administration Act and Regulations; liaison with other agencies and groups having mutual export enforcement concerns; and the development of procedures and plans for the conduct of investigations.

Disposition: PERMANENT - Cut off files at the end of the calendar year. Retire to WNRC 5 years after cut off. Transfer to NARA 20 years after cut off.

4. INVESTIGATIVE CASE FILES - These are papers and related documentation compiled in the process of collecting evidence on suspected or alleged violations of export controls. Each case concerns a violation or violations of the Export Administration Regulations and has been completed or closed. The cases are closed when all actions have been taken and the appropriate sanctions, if indicated, imposed.

a. Disposition: TEMPORARY - For documents submitted by individuals or companies that do not result in official actions, cut off files after final decision is made. Return to the submitter or destroy, whichever is appropriate.

b. Disposition: TEMPORARY - For documents submitted by individuals or companies that result in official action, cut off files after case has been completed and file in official investigative case file.

c. Disposition: TEMPORARY - Case Files - Cut off files at the end of the calendar year. Retire to WNRC 3 years after cut off. Destroy 15 years after cut off.

d. Disposition: TEMPORARY - Working papers - Cut off files after investigation is completed or case file has been closed. Destroy 3 years after cut off.

5. ECASS/ENFORCE - This is an historical database system designed to track current and past Export Enforcement case activity (namely, arrests, indictments, Temporary Denials Orders, closures, etc.) The primary function of Enforce is to: (1) maintain an accurate status of all investigative cases and provide easy access to such material; (2) provide monthly open investigation reports; and (3) provide quarterly and annual statistical data on all case activity.

Output from this system is distributed throughout OEE on a need-to-know basis. Various monthly reports are distributed only within OEE, and some quarterly and annual reports are distributed up to the Deputy Assistant Secretary level. Data from the quarterly reports are then used to prepare budget submissions, and other special publications and reports.

a. Disposition: TEMPORARY - Outputs: (1) Monthly and Ad Hoc Reports. Cut off file at the end of each fiscal year and destroy when 6 months old. (2) Quarterly/Annual Statistical Reports, cut off file at the end of the fiscal year.

b. Disposition: TEMPORARY - Hard Disk - Delete information when no longer needed for reference.

c. Disposition: TEMPORARY - Maintain system for the life of the program.

RECORDS RELATING TO INTELLIGENCE

6. REFERRALS TO FIELD OFFICES - These are records of the intelligence and Field Support Division (IFSD) of possible leads on individuals and companies who may be the subject of alleged violations of the Export Administration Act or Regulations.

Disposition: TEMPORARY - Cut off files at the end of the

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PREVIOUS  
AUTHORITY  
NI-476-91-1

calendar year. Retire to WNRC 10 years after cut off. Destroy 15 years after cut off.

#### RECORDS COMMON TO ALL EXPORT ENFORCEMENT OFFICES

7. PERSONAL COMPUTER FILES - Staff members throughout Export Enforcement may use PC's for text processing and editing documents. Drafts of correspondence, memoranda, reports and related papers are entered into the system and edited as necessary, prior to production of a hard copy. Hard copies of the data are then printed, and subsequently filed within one of the records series pertinent to the appropriate unit's operations.

- a. Source documents, such as drafts of correspondence, memoranda and reports. Destroy upon verification of data on related magnetic media.

Disposition: TEMPORARY - Source documents - Destroy 2 months after verification of data migration.

- b. Hard copies of documents: Official file copy, file in the appropriate subject or case file maintained by the creating office; Duplicate copies, destroy in office when no longer needed for reference.

Disposition: TEMPORARY - Official file copy - Cut off files at the end of the calendar year. File in appropriate subject or case file in creating office. Destroy 3 years after cut off.

- c. Magnetic disks. Erase data when no longer needed for reference and re-use the disk.

Disposition: TEMPORARY - Magnetic disks - Destroy/delete after record copy has been created.

8. ELECTRONIC RECORDS (E-MAIL AND WORD PROCESSING) - *Records created using electronic mail and word processing applications.*

Disposition: TEMPORARY - Destroy/delete within 180 days after the recordkeeping copy has been produced.